



Superintendent
of Documents

ADMINISTRATIVE NOTES



LIBRARY PROGRAMS SERVICE

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WORKSHOP AND COUNCIL MEETING UPDATE

The fifth new member of the Depository Library Council has been named. She is Kathleen Eisenbeis, documents librarian at the Perry-Castaneda Library at the University of Texas-Austin.

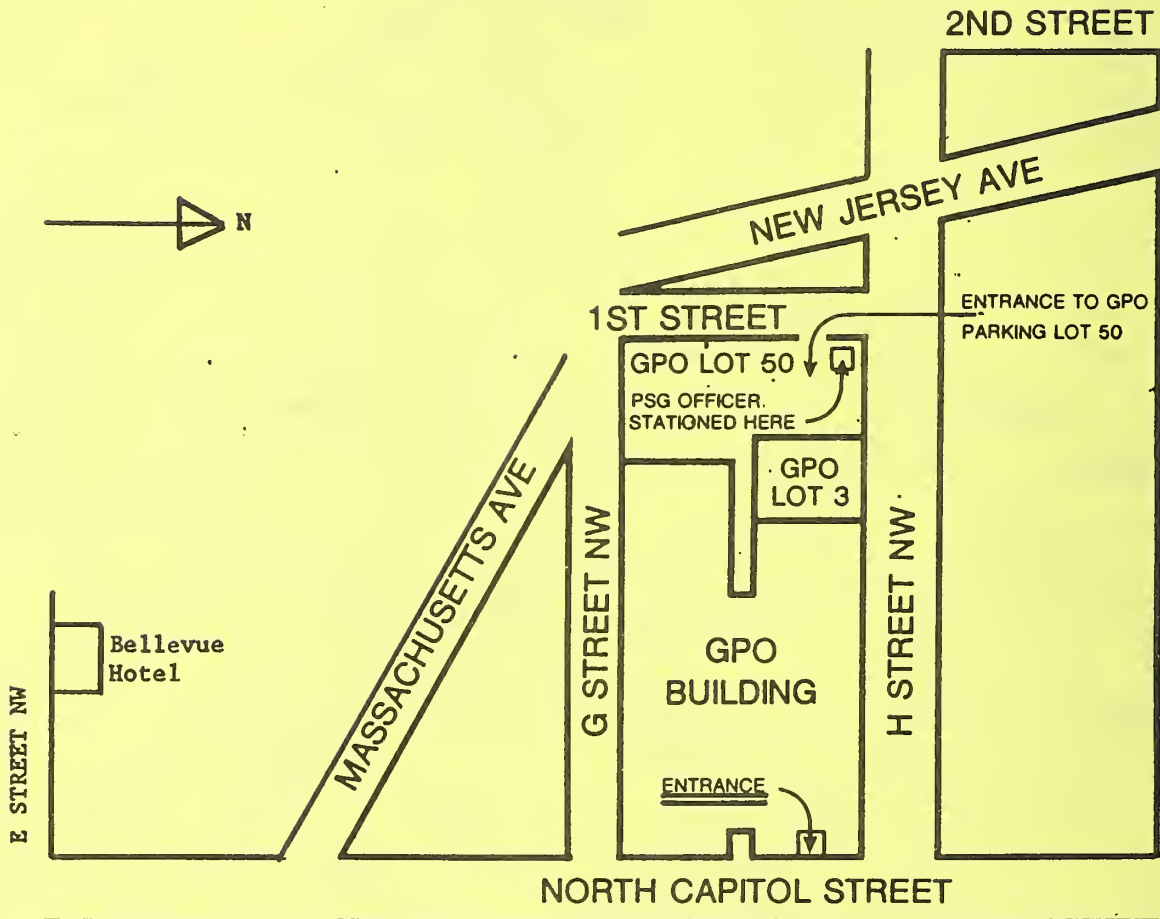
Anyone planning to attend the workshop on October 15 should send a note on library letterhead to Mr. David Brown, U.S. GPO (Stop MK), Washington, D.C. 20401. This will enable us to establish a master visitors list to facilitate clearance of workshop attendees through GPO building security. If your name is on that list, report to the main lobby of GPO, using the North Capitol & H St. entrance (not the bookstore entrance). There will be a special table for sign-in. Show some identification to the guard, who will check your name against the list and issue you a temporary visitor badge. The badge must be worn at all times while you are in the building. Then proceed to the sixth floor and follow the signs to the conference room. Be advised that most GPO employees report to work between 7:45 a.m. and 8:00 a.m., so please plan your arrival between 8:05 and 8:15 a.m. Those who have not signed up in advance will have to go through normal GPO security entry procedures, which will cause a delay.

For those who are driving, a map of the GPO building, showing parking lot 50, is on the next page. Lot 50 is the only place available for workshop attendees to park.

The conference room can accommodate about 125 attendees. Entry is on a first-come first-served, pre-registered basis.

There are two agenda changes for the Council meeting. The IIA panelist on Thursday, October 17, at 1 p.m. will be David Peyton, director of government relations, instead of Paul Zurkowski. The OMB representative will be Don McNicholas, chief of the Information Policy Branch, instead of Timothy Sprehe.

GPO PARKING LOT 50



Visitors to the GPO on official business who wish to park their vehicles on GPO property should:

- a. Plan their visit after 8:45 a.m.
- b. Park their vehicle on GPO Lot 50 (diagram above).
- c. Enter the lot on the 1st Street side off H Street NW.
- d. Obtain a permit from the Protective Services Group (PSG) officer stationed at the entrance to the lot.
- e. Indicate on the permit the name and telephone number of the official they are visiting. (Depository Library Council meeting; 275-1114)
- f. Place the permit in plain view on the dashboard of their vehicle.
- g. Park their vehicle in the area designated by the PSG officer.

DRAFT RESPONSES TO SPRING COUNCIL RECOMMENDATIONS

1. The Depository Library Council congratulates Dan MacGilvray upon his appointment as GPO Historian and expresses its appreciation for the superb assistance given the Council over the past years. We wish him well in his new position.

The new GPO Historian, Dan MacGilvray, accepts with thanks the congratulations of the Depository Library Council. He considers it a great privilege to have worked with such dedicated people over the past nine years. Thanks is also expressed by the newly married GPO Historian and his wife, Marian, for the delightful wedding present so thoughtfully provided by Council members.

2. The Depository Library Council thanks the Public Printer, the Superintendent of Documents, and the Director and staff of the Library Programs Service for their efforts in providing more timely information and superior accommodations for this meeting. We appreciate their support in assisting us to carry out our revised meeting format.

The Public Printer and his staff are delighted over the acknowledged success of the Spring '85 Council Meeting and are gratified to have the thanks of the Depository Library Council for GPO's efforts in providing advance information and superior accommodations.

3. Given the urgency of the issue of updating the GPO tapes, the Depository Library Council recommends that GPO proceed as quickly as possible with its plans to develop specifications for and fund a contract to revise and update its retrospective cataloging records in accordance with the attached proposal.

Library Programs Service staff have prepared a work statement for the proposed project of updating the LC tapes containing GPO cataloging records. This work statement can easily be developed into formal specifications. The proposed project contains ten major provisions, some of which in turn are broken down into several functional areas. A great deal of the project would entail manual searching of files, examination of documents, and re-keying records. The tapes cannot be updated by a simple process of matching and

merging tapes. In some of the proposals's parts, especially those dealing with subject headings, names, and MARC tagging, an immense number of retrospective records would have to be changed as a result of new or changed standards, although the information in the record was correct at the time it was input. Because of the vast volume of data involved and because of the large amount of manual processing required, as well as computer processing, costs will be high. GPO cannot issue a contract to perform this project without first receiving both authorization and an appropriation from Congress.

4. Council recommends that GPO commit itself to playing a leading role in addressing the problem of government documents statistics. Council recommends that GPO convene a meeting to be attended by groups which have a vested interest in the collection of such statistics, e.g., the National Center for Education Statistics (HEGIS), the American Library Association Headquarters, the Association of College and Research Libraries, the Library Administration and Management Association, the Government Documents Round Table, the Joint Committee on Printing, the Association of Research Libraries, the American Association of Law Libraries etc., to discuss definition standardization, and reporting of government documents statistics.

GPO Response: Due to the complexity of the subject; the number of interested parties; an apparent lack of consensus among these parties; and, considering the timeframe for the 1987 Biennial Survey, it is felt that a meeting, or series of meetings, of all interested parties as recommended by Council, would not lend itself to a timely agreement on statistics.

GPO has met with those groups that have a vested interest in the collection of Government documents statistics. These interested parties have been asked for their comments as to the type, method, and definitions to be used in the 1987 Biennial Survey. They have also been asked to develop some draft survey questions.

Final development of the Biennial Survey will commence as soon as GPO has gathered their responses. At the request of GODORT's statistical Task Force, the time period for comments has been extended until the mid-Winter meeting of ALA in January 1986.

GPO is committed to using the Biennial Survey as a principal means of gathering information from depository libraries. The final decision on which statistics to collect will be part of the development of the 1987 Biennial Survey.

5. Council recommends that GPO present to Council at its Fall 1985 meeting a status report about the planning for the 1987 Biennial Survey.

Although the planning for the 1987 Biennial Survey was only initiated late this summer, certain fundamental principles have already been established: 1) the survey will take place during Spring 1987; 2) answers will be encoded on optical scanable response sheets by the libraries (this will minimize manual handling;) 3) software will be created, which will allow for cross tabulation of responses; 4) future surveys will not vary significantly from the 1987 survey (allowing for a comparison of surveys over a length of time;) 5) sampling conversion tables, a glossary of terms and concise directions will be employed to minimize the workload on the libraries and to facilitate statistical gathering.

Given the tremendous diversity in size, scope and functions among depository libraries, the survey instrument needs to be as flexible and as "user friendly" as possible.

In analyzing the results of past surveys, it was found that when questions are asked, which many libraries find difficult to answer, survey responses received tend to be of little utility.

Some decisions have already been made as to the content of the survey. The survey will consist of an answer sheet, a self-addressed return envelope, and a questionnaire. The questionnaire will be divided into 3 sections. Section 1 will contain the first 8 questions of the 1985 survey and the information gathered from these questions will be used for the Committee Print and GPO records. Section 2 will contain approximately 6 questions of particular usefulness for the inspection team (access, facilities, etc.) Section 3 will

contain approximately 5 statistical questions. This last group of questions can be cross-tabulated to yield a number of different statistics and, hopefully, an accurate profile of the Depository Library System.

Since Council has offered to help with the planning for the 1987 Biennial Survey, GPO would like to suggest that Council appoint a representative to review the proposed statistical packages being submitted by various interested parties for inclusion in Section 3 of the 1987 Biennial Survey. This representative could then make a recommendation to GPO before the 1986 Spring Meeting of Council.

6. The Council recommends that separate item numbers be established for reprints and preprints of GPO publications. The policy of providing separate item numbers for these materials would save selective depositories high overhead costs of processing and housing and would save GPO the cost of printing and distributing unselected publications.
7. The Council requests that the Superintendent of Documents reconsider the position that articles reprinted from previously distributed depository publications are separate publications. Declaration that reprints are publications which may be handled as superseded documents would allow more flexibility to selective and regional depositories.

Council Recommendations 6 and 7 address the issue of "reprints", which are defined as journal articles and other reissued excerpts from government publications that have already been distributed to depositories. The Superintendent of Documents has analyzed this issue and considered several possible solutions, each of which has certain costs and implications for service.

There are three basic concerns that a viable solution must satisfy. First, many depository libraries find these reprints useful, so a blanket policy to discontinue their distribution should be avoided. Second, the regional and selective depositories need relief from the burden of processing and housing unneeded reprints. Third, the dollar and labor costs to GPO of establishing item numbers for reprints would be substantial, especially during this

time of limited budget and staffing levels; moreover, this option would provide no relief to the regional depositories.

Recommendation 7 offers a good, practical approach in terms of handling reprints as superseded documents. Following this approach, GPO will continue to classify the reprints, list them in Monthly Catalog, and distribute them under existing item numbers. However, depository librarians will now have the flexibility to handle reprints in the way that is best suited to local library operations and user needs. For example, reprints may be routed for "current awareness" purposes, entered into a vertical file, or simply treated as superseded documents. Depositories are not obliged to maintain a shelflist, catalog, or to otherwise keep records on superseded documents.

During the summer of 1986, LPS expects to have available the services of a graduate student on loan, who will study this issue in depth and prepare a report with recommendations. Until this report is ready, however, this approach should greatly alleviate the reprint problem for both regional and selective depositories.

9. The Depository Library Council recognizes that the current LPS procedure for surveying selective depositories for new publication titles often results in distribution delays and missed publications causing gaps in depository collections. In October 1984, LPS proposed a plan for expanding the List of Classes structure (attached). Council recommends GPO develop an implementation plan for an expanded List of Classes structure; this plan should meet all legal and administrative requirements and be workable from a systems standpoint.

The Library Programs Service fully endorses the concept of an expanded List of Classes structure. However, successful implementation of the expanded structure presupposes two conditions. The first condition is an enhanced computer system capability that will manage a file of some 10,000 item numbers without severely degrading DDIS processing and terminal

response time. LPS is issuing a formal request to have the necessary enhanced computer system capability developed. The second condition is that all personnel vacancies in the LPS Depository Administration Branch be filled before undertaking the task of creating an additional 4,000 item numbers. When these two requisite conditions are met, LPS will commence implementation of the expanded List of Classes structure.

10. The Depository Library Council recommends to the Public Printer that a Fact Sheet be issued which summarizes GPO's response to the "improvements" listed in the GAO report entitled Government Printing Office's Depository Library Program (GAO/AFMD-85-19).

GPO submitted for Congressional testimony the following responses to GAO recommendations:

GAO Recommendation. GAO recommended that more definitive written criteria be developed for federal agencies to use when evaluating publications for inclusion in the Depository Library Program. It was also recommended that procedures be established with other federal agencies to ensure that GPO receives lists of all publications printed by the agencies and that "... GPO consider requesting the JCP to ask the GPO legislative committees to amend Title 44 to enable GPO to fund the costs of printing and binding publications not printed by GPO for depository distribution" (GAO Report, p. 3).

GPO Response. GPO will assist the Joint Committee on Printing in issuing such guidelines as may be necessary. We will also prepare a circular letter to remind agencies of their responsibility under Title 44 for furnishing lists of publications they have printed. GPO is considering GAO's recommendation regarding funding for printing and binding.

GAO Recommendation. To improve the classification process, GAO recommended that GPO institute quality control procedures, improve monitoring of the classification backlog, date-stamp publications upon receipt, increase supervision and training for document classifiers, and implement an automated system to improve classification accuracy. GAO also recommended that "official" classification (by Library Programs Service employees) should be done before copies are ordered for depository distribution.

GPO Response. Steps have been taken to improve the classification process. For example, an instruction manual was developed to provide rules and examples for assignment

of new Superintendent of Documents classification numbers. The classification backlog has decreased from over 10,000 titles at the time GAO compiled data for the report to approximately 6,600 titles. The Superintendent of Documents is considering a plan to reorganize all classification technicians into a single unit to improve supervision and quality monitoring. Requirements are being developed for a new automated system which will provide the capability to track a document and will improve monitoring of the classification backlog and classification accuracy. GPO is considering GAO's recommendation on the date-stamping of publications upon receipt. The Library Programs Service was relocated to main GPO in mid-February. This will substantially improve communication with the GPO Customer Service Staff, which orders depository copies for most documents printed by GPO.

GAO Recommendation. GAO's most significant recommendations concerning cataloging for government documents were: 1) improve procedures for cataloging performed under contract; 2) discontinue personal name authority work; and 3) implement a cooperative cataloging project with other federal agencies.

GPO Response. Procedures for cataloging documents under contract have been modified to reduce document handling, recordkeeping, and review by GPO. The contractor is now entering cataloging records directly into the On-line Computer Library Center (OCLC) computer system, and providing printouts (instead of worksheets) to GPO for review. The cataloging contract has been changed so that documents are submitted in batches, the contractor must ensure that the entire batch meets the quality standard in order to be paid. GPO officials recently met with the U.S. Geological Survey, the Library of Congress, and other parties to open discussions on cooperative cataloging for maps. We do not plan to broaden the cooperative catalog program until adequate resources, including an in-house cataloging system, are available to support it. GPO reaffirms its position on the GAO recommendation to discontinue name authority work. GPO committed

itself to performing full name authority work when it became a partner in the Name Authority Cooperative (NACO) project administered by the Library of Congress.

Performance of this work by GPO is part of being the national authority for cataloging government documents.

11. The Depository Library Council recommends to the Public Printer that GPO investigate the use of a delete record plus local field, as opposed to the 500 field, for the linking note between corrected entries in the Monthly Catalog.*

Rationale: The linking note in the printed Monthly Catalog might be better included in a local field, so that libraries loading tapes could search for and delete the note if they so desire. This would enable GPO to provide a high quality product consistent with its statutory mission.

*A delete record is the mechanism used on LC MARC tapes to indicate that present record deletes an earlier one.

The Public Printer shares Council's concern for quality Monthly Catalog publication and subscriber tapes. Therefore, the Government Printing Office has submitted a proposal to the Network Development and MARC Standards Office, Library of Congress, to develop a field that would display the obsolete Monthly Catalog identification number. GPO will keep Council apprised of progress on this task.

12. The Depository Library Council recommends that LPS review the paper "The Senate Numbering Scheme Reviewed" by John A. McGeachy of North Carolina State University (attached). The DLC recommends that LPS then also poll the depository library community on its preference in using this numbering scheme in the SUDOC classification. This poll should query each depository as to which Senate items are selected, the desirability of separate item numbers for Senate hearings and prints, and its classification preference between the present scheme (S. PRT., S. Hrg., etc.) and the past policy of classification (e.g. Y 4. F76/2:W84).

Since the results of the survey on Senate numbering have been tabulated and are being announced in AdNotes, V. 6, n.10, and the response to J. McGeachy's paper is also appearing in that issue, I have revised the response to Council Recommendation No. 12 as follows:

"The Senate Numbering Scheme Reviewed" by John A. McGeachy, has been reviewed by LPS staff and a response will be published in Administrative Notes, volume 6, number 10. In Administrative Notes, vol. 6, no. 5, LPS polled the library community on its preference for continuing the use of Senate numbering in the SuDocs class, of returning to past practice, or using some other method of classifying Senate publications. Of 567 responses received, 22 were in favor of using some other method, 211 were in favor of returning to past practice, and 330 were in favor of continuing to use Senate numbering in the SuDocs classes. On 4 responses, no preference was indicated. In light of these results, no changes are contemplated in the classification of Senate publications.

LPS plans no changes in its assignment of Item numbers for Senate publications; therefore the survey did not query depositories on Item numbers.

13. The Depository Library Council recommends that the Public Printer review SOD-13. In particular Council asks that both the dual distribution of reference works in paper and fiche (e.g., gazetteers, Official Gazette and the prohibition of fiche conversion for publications fewer than 15 pages in length be studied.

LPS agrees to offer Official Gazette to depository libraries in both paper and fiche formats. LPS will use this title as a "case study" to assess the workload impact on LPS before considering an expanded dual-distribution policy for other titles. The "15-page minimum" standard was established as the result of a cost-benefit study some years ago. While this standard has proven practical, GPO would not hesitate to modify the standard if good reason is indicated.

14. The Depository Library Council reiterates its recommendation that GPO catalog monographic series, e.g., U.S.G.S. Professional Papers, as serials records, in addition to the individual analytics for each monographic series. These records should appear in the Monthly Catalog tape products ASAP. Until these records are printed in MOCATS, a printed list of these serial records for the purpose of identifying them on the GPO tapes should be made available.

Even though the Library Programs Service does not have the staff to provide collective cataloging records for monographic series in the OCLC data base, it recognizes the importance that such records have for libraries that maintain their records in online catalogs. If the Library Programs Service were going to embark on this project by itself, serial backlogs would increase beyond manageable levels and the timeliness of serial cataloging records in the Monthly Catalog would be adversely affected. Therefore, we believe that the most equitable, cost effective, and efficient way to deal with this request is by having the following cooperative project, which would enhance the bibliographic information contained in the GPO/LC Monthly Catalog tape products, thus increasing their marketability.

Libraries wishing to participate in this project would:

- A. Classify the documents by following the guidelines listed in the three paragraphs of the article "Locally assigned SUDOCs numbers" (Administrative Notes, January 1983, v. 5, no. 1). An "x" should always be placed before the colon to indicate that it is a locally assigned classification number. This is required for serial records, as opposed to monographic records where the "x" is placed at the end of the classification number, because only the classification stem is retained in the OCLC data base. Another useful approach would be to use the guidelines of the Practical Guide to the Superintendent of Documents Classification System, otherwise known as the Classification Manual
- B. Catalog the monographic series in accordance with the Anglo-American Cataloging Rules, 2nd edition, and OCLC's Online Systems: Serials Format. Please note that monographic series have an "m" in the Serial type (Ser tp) fixed field.
- C. Contact the Serial Record Division at the Library of Congress, and have them authenticate the descriptive cataloging for each record. Surrogates, or copies of

title pages, would probably be required by Library of Congress for each monographic series. Perhaps the Library of Congress or one/several depository libraries would consider assigning one or more catalogers to catalog the series in the LPS series authority file. The vast majority of these series have already been cataloged in the OCLC data base, so it would not be an insurmountable task.

- D. Once the series records have been authenticated by the Library of Congress, periodic notices would be provided to the Library Programs Service, listing the monographic series and their corresponding OCLC numbers.
- E. The LPS editorial staff would then generate an annual tape with the above information, and a new Monographic Series Supplement would be the end product. If there are not enough monographic series to justify the issuance of a separate publication, then an appendix to the December issue of the Monthly Catalog would take its place.

If the members of the Depository Library Council accept this cooperative endeavor, the Library Programs Service would set up a meeting with officials at the Library of Congress to propose an agreement.

- 15. The Depository Library Council applauds the Superintendent of Documents' efforts promoting the sales program through the depository system and promoting the depository system through the sales program.

The Superintendent of Documents thanks the Depository Library Council for its enthusiastic support of our plans to develop cooperative projects between the depository and sales programs. We are currently designing a pilot study on local promotion of Government publications by depository librarians, and considering the acquisition of portable display units for use by librarians at local conferences. We will keep Council informed of the progress of these studies as they develop.

